UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/017,438	12/05/2001	Neil Y. Iwamoto	36.P325	6310

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EXAMINER
VU, THONG H

ART UNIT	PAPER NUMBER
2142	

DATE MAILED: 09/13/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

	Application No.	Applicant(s)
Office Action Summary	10/017,438	IWAMOTO ET AL.
	Examiner	Art Unit	
	Thong H. Vu	2142	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>01 August 2006</u>.

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>17-36</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>17-36</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date <u>6/06</u>.

4)☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____ .

1.   Claims 1-16 have been canceled. New Claims 17-36 are pending.

2.   Applicant's arguments with respect to claims 1-16 have been considered but are

moot in view of the new Final ground(s) of rejection.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 17-36 are rejected under 35 U.S.C. 102(b) as being anticipated by

Harkins et al [Harkins, 5,513,126].

3.   As per claim 26, Harkins discloses A device which is accessible by a user based

on access management information, comprising:

a reception unit constructed to receive, from a computer, a job and access

management information for identifying a feature and/or a service of the device

available to a user (or identifying a feature and/or a service of the device not available to

the user) [Harkins, a network service menu provides access to printer, facsimile,

scanner, server, col 7 lines 1-20], wherein the access management information is

transmitted from a server to the computer [Harkins, network administration provides

users with access and location of profile and services, col 7lines 1-20]; and

a controller constructed to determine, based on the received access

management information (i.e.: a profile), whether the user can use a feature and/or a

service of the device necessary to perform the received job, and constructed to perform

the received job in a case that the user can use the feature and/or the service

necessary to perform the received job [Harkins, a service module to access a specific

service based on the receiver profile, col 7 lines 41-62].

4.   As per claim 27 Harkins discloses the device is a printing device and the job is a

print job [Harkins, printer, col 10 lines 38-54].

5.   As per claim 28 Harkins discloses a transmission unit constructed to transmit to

the computer a message for denying the access by the user, in case that said reception

unit receives the job without receiving the access management information for the user

[Harkins, reject, col 10 lines 15-36].

6.   As per claim 29 Harkins discloses a transmission unit constructed to transmit to

the computer a message for denying the job, in case that the user can not use the

feature and/or the service necessary to perform the received job [Harkins, reject, col 10

lines 15-36].

7.   As per claim 30 Harkins discloses said reception unit receives access

management information for a second user from the server without the computer, said

controller determines a level of access to the device available to the second user based

on the received access management information for the second user, and said

controller allows the second user access to the device based on the determined level of

access to the device [Harkins, user access privileges, col 7 lines 1-20].

8.   As per claim 31 Harkins discloses A device which is accessible by a user based

on access management information, comprising:

a reception unit constructed to receive, from a computer, a job and access

management information for identifying a feature and/or a service of the device

available to a user [Harkins, a network service menu provides access to printer,

facsimile, scanner, server, col 7 lines 1-20], wherein the access management

information is transmitted from a server to the computer [Harkins, network

administration provides users with access and location of profile and services, col 7lines

1-20]; and

a controller constructed to determine, based on the received access

management information, whether the user can use a feature and/or a service of the

device necessary to perform the received job, and constructed to perform the received

job in case that the user can use the feature and/or the service necessary to perform

the received job [Harkins, a service module to access a specific service based on the

receiver profile, col 7 lines 41-62].

9.   As per claim 32 Harkins discloses A server for use in controlling access to a

peripheral device by a user, wherein the peripheral device is accessible by the user

based on access management information, the server comprising:

a reception unit constructed to receive from a computer authentication

information corresponding to a user [Harkins, authentication protocol, col 1 lines 21-49];

an authentication unit constructed to authenticate the user using the received

authentication information [Harkins, the access rights property 186, col 10 lines 15-36,

Fig 6]; and

a transmission unit constructed to transmit to the computer access management

information for identifying a feature and/or a service of the peripheral device available to

the authenticated user (or identifying a feature and/or a service of the peripheral device

not available to the authenticated user) [Harkins, a network service menu provides

access to printer, facsimile, scanner, server, col 7 lines 1-20], wherein the computer

transmits the access management information and a job to the peripheral device

[Harkins, network administration provides users with access and location of profile and

services, col 7lines 1-20],

the peripheral device determines, based on the access management information,

whether the user can use a feature and/or a service of the device necessary to perform

the job, and the peripheral device performs the job in case that the user can use the

feature and/or the service necessary to perform the job [Harkins, a service module to

access a specific service based on the receiver profile, col 7 lines 41-62].

10.   As per claim 33 Harkins discloses said reception unit receives from the

peripheral device authentication information corresponding to a second user, said

authentication unit authenticates the second user using the received authentication

information corresponding to the second user, said transmission unit transmits to the

peripheral device access management information for identifying a feature and/or a

service of the peripheral device available to the second user or identifying a feature

and/or a service of the peripheral device not available to the second user, the peripheral

device determines a level of access to the peripheral device available to the second

user based on the access management information for the second user, and the

peripheral device allows the second user access to the peripheral device based on the

determined level of access to the peripheral device [Harkins, the access rights property

186, col 10 lines 15-36, Fig 6].

11.   As per claim 34 Harkins discloses A server for use in controlling access to a

peripheral device by a user, wherein the peripheral device is accessible by the user

based on access management information, the server comprising:

   a reception unit constructed to receive from a computer authentication

information corresponding to a user [Harkins, receiver profile, col 7 lines 41-62];

   an authentication unit constructed to authenticate the user using the received

authentication information [Harkins, the access rights property 186, col 10 lines 15-36,

Fig 6]; and

   a transmission unit constructed to transmit to the computer access

management information for identifying a feature and/or a service of the peripheral

device available to the authenticated user [Harkins, menu provides utilities available to

device, col 7 lines 20-40],

    wherein the computer transmits the access management information and a

job to the peripheral device, the peripheral device determines, based on the access

management information, whether the user can use a feature and/or a service of the

device necessary to perform the job [Harkins, extract the necessary information, col 3

lines 20-42], and

    the peripheral device performs the job in case that the user can use the feature

and/or the service necessary to perform the job [Harkins, menu provides access to

services, col 7 lines 1-20].

12.   As per claim 35 Harkins discloses A computer for transmitting a job to a

peripheral device, wherein the peripheral device is accessible by the user based on

access management information, the computer comprising:

    a reception unit constructed to receive from a server access management

information for identifying a feature and/or a service of the peripheral device available to

a user or identifying a feature and/or a service of the peripheral device not available to

the user [Harkins, receiver profile, col 7 lines 41-62]; and

    a transmission unit constructed to transmit the received access management

information and a job to the peripheral device [Harkins, menu provides utilities available

to device, col 7 lines 20-40],

    wherein the peripheral device determines whether the user can use a feature

and/or a service of the peripheral device necessary to perform the job, based on the

access management information [Harkins, extract the necessary information, col 3 lines

20-42], and

the peripheral device performs the job in case that the user can use the

feature and/or the service necessary to perform the job [Harkins, menu provides access

to services, col 7 lines 1-20].

13.   As per claim 36 Harkins discloses a second transmission unit constructed to

transmit to the server authentication information corresponding to the user, wherein the

server authenticates the user using the authentication information and transmits the

access management information for the authenticated user to the computer [Harkins,

authentication protocol, col 1 lines 22-49].

14.   As per claim 17 Harkins discloses A method for controlling access to a peripheral

device by a user, wherein the peripheral device is accessible by the user based on

access management information, the method comprising the steps of:

receiving, at a computer, from a server access management information for

identifying a feature and/or a service of the peripheral device available to a user or

identifying a feature and/or a service of the peripheral device not available to the user

[Harkins, receiver profile, col 7 lines 41-62];

receiving, at the peripheral device, the access management information and

a job from the computer [Harkins, network administration provides users with access

and location of profile and services, col 7lines 1-20];

determining, at the peripheral device, whether the user can use a feature

and/or a service of the peripheral device necessary to perform the received job, based

on the received access management information [Harkins, extract the necessary

information, col 3 lines 20-42]; and

performing, at the peripheral device, the received job in a case that the user

can use the feature and/or the service necessary to perform the received job [Harkins,

menu provides access to services, col 7 lines 1-20].

15.   As per claim 18 Harkins discloses receiving, at the server, authentication

information corresponding to the user from the computer; and authenticating, at the

server, the user based on the received authentication information, wherein the server

transmits the access management information to the computer after the server

authenticates the user [Harkins, servers and network administration provides users

access rights and services, col 7 lines 1-20].

16.   As per claim 19 Harkins discloses the authentication information includes a user

name and/or a password [Harkins, user profile, col 7 lines 1-20].

17.   As per claim 20 Harkins discloses transmitting, at the peripheral device, to the

computer a message for denying the access by the user, in case that the peripheral

device receives the job without receiving the access management information for the

user [Harkins reject, col 10 lines 15-36].

18.   As per claim 21 Harkins discloses transmitting, at the peripheral device, to the

computer a message for denying the job, in case that the user can not use the feature

and/or the service necessary to perform the received job [Harkins reject, col 10 lines 15-

36].

19.   As per claim 22 Harkins discloses transmitting, at the computer, to the server a

request for the access management information, wherein the request identifies the user

and the peripheral device, wherein the computer receives the access management

information corresponding to the user and the peripheral device [Harkins ,corresponds

to the preferred mode, col 13 lines 32-57].

20.   As per claim 23 Harkins discloses receiving, at the peripheral device, access

management information for a second user from the server without the computer;

determining, at the peripheral device, a level of access to the peripheral device

available to the second user based on the received access management information for

the second user; and allowing, at the peripheral device, the second user access to the

peripheral device based on the determined level of access to the peripheral device

[Harkins, the access rights property 186, col 10 lines 15-36, Fig 6]..

21.   As per claim 24 Harkins discloses receiving, at the server, authentication

information corresponding to the second user from the peripheral device; and

authenticating, at the server, the second user based on the received authentication

information, wherein the server transmits the access management information for the

second user to the peripheral device after the server authenticates the second user

[Harkins, the access rights property 186, col 10 lines 15-36, Fig 6].

22.   As per claim 25 Harkins discloses A method for controlling access to a peripheral

device by a user, wherein the peripheral device is accessible by the user based on

access management information, the method comprising the steps of:

      receiving, at a computer, from a server access management information for

identifying a feature and/or a service of the peripheral device available to a user ;

      receiving, at the peripheral device, the access management information and

a job from the computer [Harkins, network administration provides users with access

and location of profile and services, col 7lines 1-20];

      determining, at the peripheral device, whether the user can use a feature

and/or a service of the peripheral device necessary to perform the received job, based

on the received access management information [Harkins, a service module to access a

specific service based on the receiver profile, col 7 lines 41-62]; and

      performing, at the peripheral device, the received job in a case that the user

can use the feature and/or the service necessary to perform the received job [Harkins,

extract the necessary information, col 3 lines 20-42].

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 17-36 are rejected under 35 U.S.C. 102(e) as being anticipated by

Karaoguz et al [Karaoguz 2005/0233744 A1].

23.   As per claim 17 Karaoguz discloses A method for controlling access to a

peripheral device by a user, wherein the peripheral device is accessible by the user

based on access management information, the method comprising the steps of:

receiving, at a computer, from a server access management information for

identifying a feature and/or a service of the peripheral device available to a user or

identifying a feature and/or a service of the peripheral device not available to the user

[Karaoguz, a broadband gateway, 0023];

receiving, at the peripheral device, the access management information and

a job from the computer [Karaoguz, authenticate access devices, 0034];

determining, at the peripheral device, whether the user can use a feature

and/or a service of the peripheral device necessary to perform the received job, based

on the received access management information [Karaoguz, determine the tier or

access level, 0085]; and

performing, at the peripheral device, the received job in a case that the user

can use the feature and/or the service necessary to perform the received job [Karaoguz,

provide features and services based on access level, 0083,0084].

24.   As per claim 18 Karaoguz discloses receiving, at the server, authentication

information corresponding to the user from the computer; and authenticating, at the

server, the user based on the received authentication information, wherein the server

transmits the access management information to the computer after the server

authenticates the user [Karaoguz, determine the tier or access level, 0085].

25.   As per claim 19 Karaoguz discloses the authentication information includes a

user name and/or a password [Karaoguz, password, 0035].

26.   As per claim 20 Karaoguz discloses transmitting, at the peripheral device, to the

computer a message for denying the access by the user, in case that the peripheral

device receives the job without receiving the access management information for the

user [Karaoguz, deny access, 0034].

27.   As per claim 21 Karaoguz discloses transmitting, at the peripheral device, to the computer a message for denying the job, in case that the user can not use the feature and/or the service necessary to perform the received job [Karaoguz, deny access, 0034].

28.   As per claim 22 Karaoguz discloses transmitting, at the computer, to the server a request for the access management information, wherein the request identifies the user and the peripheral device, wherein the computer receives the access management information corresponding to the user and the peripheral device [Karaoguz, provide features and services based on access level, 0083,0084].

29.   As per claim 23 Karaoguz discloses receiving, at the peripheral device, access management information for a second user from the server without the computer; determining, at the peripheral device, a level of access to the peripheral device available to the second user based on the received access management information for the second user; and allowing, at the peripheral device, the second user access to the peripheral device based on the determined level of access to the peripheral device [Karaoguz, provide features and services based on access level, 0083,0084].

30.   As per claim 24 Karaoguz discloses receiving, at the server, authentication information corresponding to the second user from the peripheral device; and authenticating, at the server, the second user based on the received authentication

information, wherein the server transmits the access management information for the

second user to the peripheral device after the server authenticates the second user

[Karaoguz, authenticate access devices, 0034].

31.   Claims 25-36 contain the identical limitations set forth in claims 17-24. Therefore

claims 25-36 are rejected for the same rationale set forth in claims 17-24.

    THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time
policy as set forth in 37 CFR 1.136(a).
    A shortened statutory period for reply to this final action is set to expire THREE
MONTHS from the mailing date of this action. In the event a first reply is filed within
TWO MONTHS of the mailing date of this final action and the advisory action is not
mailed until after the end of the THREE-MONTH shortened statutory period, then the
shortened statutory period will expire on the date the advisory action is mailed, and any
extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of
the advisory action. In no event, however, will the statutory period for reply expire later
than SIX MONTHS from the mailing date of this final action.
    Any inquiry concerning this communication or earlier communications from the
examiner should be directed to examiner *Thong Vu*, whose telephone number is (571)-
272-3904. The examiner can normally be reached on Monday-Thursday from 6:00AM-
3:30PM.
    If attempts to reach the examiner by telephone are unsuccessful, the examiner's
supervisor, *Andrew Caldwell*, can be reached at (571) 272-3868. The fax number for the
organization where this application or proceeding is assigned is 571-273-8300
    Information regarding the status of an application may be obtained from the
Patent Application Information Retrieval IPAIRI system. Status information for published
applications may be obtained from either Private PMR or Public PMR. Status
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have questions on access to the Private PAIR system, contact the Electronic Business
Center (EBC) at 866-217-9197 (toll-free).

Thong Vu
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Art Unit 2142